Impact / Likelihood

Risk Title

CORRR0001 Financial Sustainability

Risk Description

The council does not plan and implement the necessary changes in its services to deliver its priorities within the resources available and/or local government funding for care services reaches levels which make it impossible to deliver all statutory duties. This results in a financially unsustainable Council unable to meet all its statutory duties including the requirement to set a balanced budget each year.

Likelihood	**Potential Impact**
The 2022/23 Local Government Finance Settlement sees a continuation of real terms reductions in Government Grant funding for core (long standing) local government services. All of the uplift in funding to be provided to Councils for 2022/23 is for specific purposes and policy commitments so cost pressures like pay and general inflation will again have to be funded by reductions in costs elsewhere in the Council's budget and possibly through Council Tax increases. This approach to local government funding of core services is not sustainable and there is now a very real risk that the overall resources available will be insufficient to enable the Council to meet its core statutory functions. The risk of service failure is also increased by the cumulative effect of budget savings to compensate for the lack of growth in grant funding for core service cost and demand pressures. Our Change Programme and its Board is where planning and evaluation of change is monitored. It regularly scrutinises and evaluates planned savings, efficiencies, channel shift and service redesign. Work on the inclusion of all projects in the Change Programme is iterative but the scale of change and budget savings already delivered is making it increasingly difficult to find new options for savings. Priority based budgeting is progressing with localities to reach our 1% participatory budgeting target but has been delayed due to the pandemic. Whilst community engagement, citizen's panel and locality planning have given some insight into the voice of our customers the work needs to expand to identify both the customers'	The Council fails to set a realistic and balanced budget, a legal requirement. Spend is not aligned to agreed priorities set out in our Council Plan. Budget issues arise which require emergency funding. Unexpected spending responding to COVID-19 erodes the Council's financial reserves leaving less scope to manage unexpected financial issues in the future. The Council has insufficient resources to meet its core statutory duties. Lack of a strategic approach to service planning and resource allocation leading to unsustainable services. Increased service user and citizen dissatisfaction: we fail to engage sufficiently with our citizens and manage expectations. Adverse media publicity resulting in a negative impact on the reputation of the council. Savings and efficiencies are not realised resulting in emergency corrective action. We fail to meet our statutory duties resulting in poorer outcomes for service users and weak external inspection and regulatory reports.

priorities and non-priorities taking into account the limited resources the Council has available.

The medium to long term implications of COVID-19 and Brexit on Scottish local government finances is still emerging and uncertain, however the Scottish Government's latest Medium Term Financial Strategy (2021) indicates significant financial challenge for the council will continue for the foreseeable future. The additional public expenditure due to COVID-19 is expected to mean ongoing financial constraint into future years especially for those local government services deemed lower priority by the Scottish Government.

Pay inflation is a particular concern for the Council as such additional costs are not supported by additional government grant. General inflation is also a heightened risk at present and there are specific pressures affecting food, energy fuel and construction markets and pricing which are likely to affect the Councils budgets. There are also potential risks to the Council's income streams and ability to collect e.g. Council Tax and rents in the aftermath of the pandemic.

The Council's latest Medium Term Budget Strategy (MTBS) from November 2021 shows a projected funding gap for the period 2022/23 to 2024/25 of £37.1m. This requires new savings in addition to the £71.3m of savings already implemented since 2013. Delivering this level of further saving in a context where large parts of the Council's budget is made up of fixed costs will be enormously challenging and may even be impossible to achieve whilst still ensuring the Council's statutory responsibilities can be fulfilled. Even assuming statutory responsibilities can still be met the scale of further savings projected to be required cannot possibly be achieved without significant changes to the range, volume and methods of delivery of Council services.

There is still a need for further work with elected members and partners to identify less prioritised areas and thereafter identify where significant service reductions will be supported.

Existing Controls

|	
Annual Medium Term Budget Strategy prepared including assessment of national issues affecting public finances generally	To forecast the extent of future financial challenges and allow plans to address these in good time.
Change Programme aligned to Council Plan	Continually being developed - a specific programme of work to create the next phase of the Change Programme in a post pandemic environment following Corporate Leadership Team development sessions is underway but there are currently insufficient options identified to close projected funding gaps.
Robust financial management	Budgets are reviewed, scrutinised and evaluated monthly by budget holders supported by finance staff.
Regular budget monitoring and reporting	By directors at Corporate Leadership Team meetings and committees.
Transformational options developed as part of Change Programme	Options which will increase income or reduce the demand on and cost of council services
2020/21 budgets were revised in response to COVID-19 and 2021/22 budgets have also been adjusted and will be kept under review	Further adjustments can be made during 2021/22 as COVID and other impacts evolve. 2022/23 COVID impacts are uncertain but are being reviewed.

Change Management Board meets every 4 weeks	Chaired by the Chief Executive

Risk Likelihood Score: 5

Risk Impact Score: 4

Overall Risk Score: 20

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00002 Prepare the next iteration of the Change Programme	Version 3	31-Mar-2022	In progress	Options to bridge whole of the funding gap are identified	Director of Strategic Policy, Transformation & Public Sector Reform	We are in the process of transitioning the current change programme as part of the budget considerations for 22/23 and beyond. The programme needed to be refreshed and updated following the impact of the pandemic on progress. The work has identified a number of new projects and these will be reflected in the new programme. Likewise there are a number of areas that can no longer be progressed due to a range of factors and these will be reported in due course to committee as part of the budget setting process. We are currently awaiting the detail of the SG budget implications for Angus, but it is likely the need to make savings as part of the change programme for the foreseeable future. We are therefore refocusing our enabling changes with the revised Council Plan and focus the change programme savings in our Finance and Change Plan.	16-Dec-2021
AC-COR-00003 Prepare fallback options should targeted savings not be met	To provide flexibility should projected funding gaps increase or Change Programme projects not meet their targeted savings - review	30-Sep-2021	Completed	Options capable of implementation, if need be, identified	Director of Finance	Fallback options have been identified as part of 2022/23 budget submissions from each council service and most of these	15-Dec-2021

	point in summer 2021 to determine if fallback options likely to be necessary.					will require to be implemented in setting the 2022/23 budget.	
AC-COR-00004 Review Change programme plans monthly	Budget, savings, service plans, etc	31-Jan-2022	In progress	Plan is reviewed at monthly service managers' meeting	Manager - Change	Work ongoing – monthly meetings of Change Board continuing	23-Jul-2021
AC-COR-00005 Ensure priorities are addressed as per the Council Plan		28-Feb-2022	Completed	Outcomes are met	Directors	Shelley Hague: Completed and the refreshed council plan will be put up in February 2022 with refreshed targets	20-Dec-2021
AC-COR-00006 Ensure alignment with Change Programme	Correlation across all areas	28-Feb-2022	In progress	Budget and work programmes aligned and delivering	Service Leader (Governance & Change); Director of Finance	Work to transition the Change Programme for 2022/23, 2023/24 and 2024/25 is progressing and is aligned with the budget planning process.	14-Dec-2021
AC-COR-00031 Prepare Medium Term Plan/Strategy for how the Council will manage financial and other challenges between now and Local Government Elections in May 2022		31-Jan-2021	Completed	Clear plan and strategy developed and being implemented	Director of Finance	Complete – submitted to Council meeting 4 March 2021	23-Jul-2021
AC-COR-00032 Hold additional briefings and workshops for members and senior officers	To explore how to keep the Council financially sustainable by analysing and understanding in more detail the impact on outcomes and priorities from our deployment of available resources. Ensure this work is informed by good community engagement to get public views.	31-Jul-2021	Completed	Briefings/workshops held and provide clear plan to keep the Council financially sustainable having also consulted with the public.	Chief Executive; Director of Finance	Programme of workshops completed - further work will be required with new Council after May 2022 Local Government elections	15-Dec-2021
AC-COR-00033 Ensure the Council takes the opportunity to use the Fiscal Flexibilities allowed by Scottish Government to meet COVID-19 financial impacts.	This is in the absence of additional funding from Scottish Government and is for impacts now and in the medium term.	28-Feb-2022	In progress		Director of Finance	Discussions between Scottish Government and COSLA regarding these flexibilities are ongoing so action date rolled forward	15-Dec-2021
AC-COR-00046 Prepare a long term financial strategy for the Council	To compliment the MTBS by looking further ahead at key issues likely to significantly affect the Council's finances.	31-Mar-2022	In progress	Long term strategy approved by Council and used to inform decision making and planning	Director of Finance	This has been delayed several times by the pressure of other urgent work but an initial long term financial planning framework is intended to be brought to	15-Dec-2021

						Council for consideration in Feb/Mar 2022	
AC-COR-00047 Develop clear plan for use of COVID funding provided to the Council to address issues caused by the pandemic	Also to consider how such funding may support the Council's overall budget challenges and ensure best value use of all resources regardless of how provided.	30-Sep-2021	✓ Completed	Clear plan for use of funds available which best supports delivery of Council Plan priorities	Director of Finance	Complete – updated budget strategy and approach to use of COVID funding agreed by Council in September 2021 (Report 285/21 refers) Shelley Hague: An officer has been put in post to align COVID funding which has included wellbeing fund and winter emergency fund. This post is funded to end of March 2022 with an option to extend to August 2022.	20-Dec-2021

Target Likelihood: 3

Target Impact: 3

Overall Target Score: 9

Risk Owner:	Ian Lorimer, Service Director

Latest Update	By	Date
Narrative is deliberately detailed given the importance of this risk. Changes to likelihood score made at review (December 2021) in light of Local Government Grant Settlement.	Alison Frew	15 Dec 2021
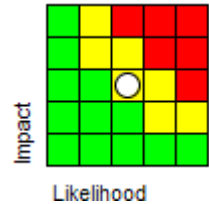
Risk Title

CORRR0002 Transforming for the Future

Risk Description

The council fails to transform its service delivery sufficiently to meet future demands and priorities while working within its budget constraints and rising costs.

Likelihood	**Potential Impact**
Substantial transformation is being progressed by the council in the way services are delivered. There is a focus on strategic planning and prioritisation of outcomes. Significant work is underway to minimise risk by engaging in collaborative work across the Council partnerships. Our Council Plan has identified strategic priorities and resource and planning are aligned to these. There is a growing expectation that communities will do more for themselves. There is a risk that we will not empower communities to support the transformation agenda and control demand management.	Failure to deliver the transformational change could prevent the creation of sustainable services. This may result in a failure to modernise services, practice, attitude and behaviour. Council resources may not be properly and/or adequately targeted at achieving strategic change agenda to provide key frontline service requirements. The Council may fail to deliver on its priorities/outcomes and could spend beyond its available budget.

Existing Controls

Leadership	Strong resilient strategic leadership with a clear sense of purpose and change.
Approach to change	Good Industry Practice approach to change being implemented (e.g. via OGC Portfolio Management approach).
Clear priorities established and agreed in line with key strategic plans	e.g. Local Outcomes Improvement Plan, Council Plan, Financial Plan, Workforce Plan, Medium Term Budget Strategy and Change Programme).
Whole Council approach to change	
Clear change programme approach developed and agreed	includes defining the scope of the programme and delivering the various programmes/ projects.
Change programme links to strategic outcomes	Economy, People, Place and Our Council.

Governance	Council has agreed governance arrangements for the change programme, including reporting to Change Board, Policy & Budget Strategy Group (PBSG), Policy & Resources Committee and Scrutiny & Audit Committee.
Programme Office team is in place	to co-ordinate and support services with the delivery of the change programme.
Change Forum established	for project leads and other staff involved in change to share information, learning and support improvement.
Change programme planning and delivery cycle	Embedded in our corporate governance arrangements.
Weekly monitoring of the impact of COVID19	Including required changes to service delivery.

Risk Likelihood Score: 3

Risk Impact Score: 3

Overall Risk Score: 9

**Additional Controls/Actions to Reduce Likelihood and/or Impact Scores**

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00007 Continue to develop staff resources and skills.	To support delivering service transformation.	31-Mar-2022	In progress	Improvement in staff capability for delivering change.	Service Leader (Governance & Change)	Further project management training is being planned with our training partner QA. The training modules in relation to Service Design are also now available to support staff development in relation to this way or delivering change.	14-Dec-2021
AC-COR-00008 Continue to develop approach to demand management across all services.		31-Mar-2022	In progress	Demand management as business as usual.	CLT	Work is going on to progress this action. A recent change in the portfolio of the Director for Communities (Vibrant Communities) will enable leadership of demand management across the Council. CLT are considering all aspects of this in relation to our finance and texts of change	08-Jul-2021
AC-COR-00009 Ensure risk actions in Change Programme risk register are completed to deadlines.		31-Mar-2022	In progress	Change Programme risk register actions completed.	Service Leader (Governance & Change)	The risk in the Change programme risk register are monitored and updated regularly including the associated actions. The Risk Register is also reported to the	14-Dec-2021

						Change Board for scrutiny, review and input where required. Fulfilled in 2020/21 and ongoing for 2021/22.	
AC-COR-00025 Monitor impact of changes to service delivery as a consequence of COVID19	Decide whether change is an improvement to be continued post pandemic.	31-Mar-2022	In progress	More efficient service delivery including online approaches.	CLT	a lot of excellent cross council work going on to address service delivery improvements as a consequence of different delivery during the pandemic. CLT papers & a likely paper to Council Sept/Oct outlining changes to offices and workstyles.	08-Jul-2021

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Margo Williamson, Chief Executive

Latest Update	By	Date
Vivien Smith is now leading our Transformational Change Programme and managing the risks along with the rest of CLT. Work is progressing on Demand Management with a view to recovery from the significant work on COVID response to further transformation of public service with less government grant.	Margo Williamson	25 Oct 2021

Impact / Likelihood
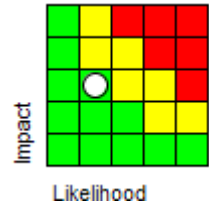
Risk Title

CORRR0003 Performance Management

Risk Description

The council does not manage or report its performance as effectively as possible in all the areas that are important to internal and external stakeholders and therefore does not always monitor performance against priorities and outcomes.

Likelihood	**Potential Impact**
Work continues to ensure that all directorates and services use available data effectively to identify and prioritise improvements in performance. This work includes the need to ensure a greater focus on outcomes and a reporting schedule which presents our performance/improvement in alignment with our planning process. At present how directorates/services utilise the data available to them is varied. All Directorates are progressing with the Performance-Led (PLED) programme. We do not consistently have evidence led understanding of the performance that is important to our external stakeholders. We are increasing our use of benchmarking our performance against other councils in priority areas. This includes setting targets against our council plan performance indicators. We are measuring our performance against government set targets in several service areas. We are starting to undertake public engagement on our council priorities as part of the budget setting process.	The council does not know how well it performs (in terms of customer satisfactions, costs and service quality) in all priority areas. Service performance is not effectively monitored in some areas. Decisions about where to spend our financial and other resources are not informed by performance data in all areas. The public elected members and senior officers do not always receive performance information drawn from a variety of sources/stakeholders and so are being asked to make decisions based on information that may not be reliable or valid. How we utilise data as a Council does not effectively support and align with the planning and reporting cycle. There is a surfeit of performance information which is not useful. There is a lack of concentration on "what matters"

Existing Controls

Pentana is in place as a tool to facilitate performance management and reporting.	This is now a core component of the Performance-Led Council Programme phase 1 & 2 with the system reviewed and a standard portal introduced for each service to bring consistency and improved use.
Services are using Local Government Benchmarking Framework (LGBF)to assess comparative performance	Some services are involved in Association for Public Service Excellence (APSE) or professional bodies with associated benchmarking frameworks and comparators

Annual report is reviewed for the context of Angus with analytical report presented to Scrutiny and Audit committee.	
Benchmarking information from other authorities in some service areas	
Well established performance management and reporting arrangements	Annual reports, reports to Scrutiny & Audit Committee
Range of measures contained in the Council Plan	Focus on key information needed by the public and elected members to judge council performance; we are now measuring and reporting this data and developing trend information. These have been reviewed following service involvement of PLED programme, to be more robust, reliable and allow for timeous reporting.
Council committees scrutinise a range of performance reports on service performance.	Such as LGBF reports; council plan performance; Angus Joint Child Poverty Local Action Plan; Scottish Roads Maintenance Conditions Results; Annual Chief Social Work Officer report; Housing Service Performance report. Next phases of the PLED programme will introduce quarterly reporting to assess performance more regularly and accurately.
Council committees and Capital Plan Monitoring Groups.	Monitors performance on spend for revenue and capital expenditure which includes service delivery performance monitoring where applicable.
Performance Led Programme	Recommendations from the Pentana review and also How Good Is Our Council integrated into this programme. All services in the council are involved in this programme working through improvements in performance information, self-evaluation and Pentana.

Risk Likelihood Score: 2

Risk Impact Score: 3

Overall Risk Score: 6

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00010 Performance information to be used to inform budget setting.	Decisions and choices made about priority and non-priority service provision.	28-Feb-2022	In progress	Robust performance information available to assist in setting and achieving outcomes at 2021/22 budget setting.	Directors	Shelley Hague: Annual Performance Report approved at November committee which includes updates and indicators.	20-Dec-2021
AC-COR-00012 Service Directors to continue to use appropriate performance measures.	Directors will continue to use appropriate performance measures that are important to internal and external stakeholders and report to CLT / Service Committees as appropriate.	31-Aug-2022	In progress	The council manages and reports its performance in all the areas that are important to internal and external stakeholders and therefore monitors its	Manager - Quality Improvement & Performance	Data and performance information shared with directors via Pentana and Power BI. (Business Intelligence)	22-Dec-2021

				performance against priorities and outcomes.			
AC-COR-00013 Progression on How Good Is Our Council / Service.	Setting out performance information and comparisons with other councils.	31-Aug-2022	In progress	Robust performance information and benchmarking data.	Manager - Quality Improvement & Performance	. This is part of PLED programme and corporate self-evaluation completed as part of Best Value Audit preparations.	22-Dec-2021
AC-COR-00060 Progress to Stage 3 & 4 of Performance Led programme	Next stage of PLED programme. This will involve: - Improved performance reporting - Big Data Project - Development of Power BI	31-Dec-2023	In progress	Quarterly performance updates to S&A Committee	Directors	This action tree will be added to Pentana to allow progress on the three key components to be monitored. Improved regular reporting, development of data dashboards and the big data project will help us co-ordinate the services work on PLED programme.	22-Dec-2021
AC-COR-00061 Power BI Improvement Tool	Development of this analytical tool has progressed well since response to COVID.	31-Mar-2023	In progress	Improved dashboards and reporting	Manager Quality Improvement & Performance	Following development of a comprehensive dashboard, which is made available for all directors with daily updates, progress in this area will continue. Core corporate dashboards will be developed, followed by thematic reports and then service specific dashboards.	22-Dec-2021
AC-COR-00062 Big Data Project	This project will improve the direction, management and co-ordination of our data.	31-Dec-2023	In progress	Whole council approach to data integration, governance and analysis	Manager Quality Improvement & Performance	This action is added to Pentana to ensure delivery of the 4 core workstreams: - Improved collaboration and productivity between services on data - Increased quality and efficiency of our data and data management - Data skills and training - Improved data analysis and reporting of data	22-Dec-2021
AC-COR-00063 Audit Scotland's Annual Audit Report actions – to be monitored	Create an action plan to progress recommendations in annual report	30-Sep-2022	In progress	Improved data for PIs in annual performance report, Clearer public performance	Manager Quality Improvement & Performance	Action will meet improvements through: - Review of council plan PIs and engagement with services	22-Dec-2021

				reporting; and reporting on the compliance to 2018 SPI Direction.		- improvement of the Annual Performance report - formal assessment of compliance to 2018 SPI direction	

Target Likelihood: 2

Target Impact: 2

Overall Target Score: 4

Risk Owner:	Ian Cochrane, Director of Infrastructure

Latest Update	By	Date
Risk reviewed and text edited. New actions added aligned with Annual Audit Report and report to Corporate Leadership Team on 1 December 2021	Ian Cochrane	22 Dec 2021
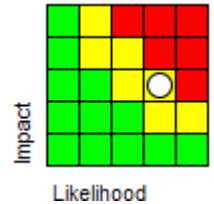
Risk Title

CORRR0004 Partnerships

Risk Description

Failure to align / influence the differing priorities of partners can lead to decisions being taken that deviate the focus from the delivery of council priorities and outcomes.

Likelihood	**Potential Impact**
As budget pressures on partners grow, there is a very real risk that collaborative working across a range of services will suffer.	Efficiencies through joined up working will not be delivered as short term decisions may be taken. This may result in savings identified in the change programme relating to partnership working not being realised or delivered within anticipated timescales.

Existing Controls

Regular meetings with a wide range of partners through Angus Community Planning Partnership (ACPP)	
Work ongoing in relation to One Public Estate	
Regular meetings with Chief Executives of neighbouring authorities.	
Shared understanding that partnership working delivers economies of scale in certain areas.	
Legislative requirements	
Central Government expectation	
Strategic Commissioning (SC) function within the Council	
SC function holds regular liaison meetings with partners	Tayside Contracts (TC), Angus Health & Social Care partnership (AHSCP), Angus Alive (AA) and Voluntary Action Angus (VAA)
Council representative(s) attend TC, AHSCP and AA strategic / board / governance meetings	

Risk Likelihood Score: 4

Risk Impact Score: 3

Overall Risk Score: 12

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00015 Continue development work with Angus Alive to align priorities	Consider a range of issues related to strategic alignment with Council priorities	31-Mar-2022	In progress	Improved understanding of council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit future partners actions (e.g. agreed action plan or similar)	Corporate Improvement Officer	The transformation project with Angus Alive as a consequence of the impact of Covid 19 on Culture and Leisure services is well underway. Reports on progress have been considered by Angus Council at each of its meetings throughout 2021. There have now been 3 Rapid Improvement Events and four innovation groups established to ensure that the service level agreement with the ALEO is both robust and forward looking from 2022.	22-Dec-2021
AC-COR-00016 Continue development work with Tayside Contracts to align priorities	Consider a range of issues related to strategic alignment with council priorities	31-Mar-2022	In progress	Improved understanding of council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit future partners actions (e.g. agreed action plan or similar)	Depute Chief Executive	work with TC Governance & Strategy Group (GSG) and services continues to identify areas for improvement, saving and income generation.	22-Dec-2021
AC-COR-00017 Continue development work with Voluntary Action Angus (VAA) to align priorities	Improved understanding of council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution Evidence to exhibit future partners actions (e.g. agreed action plan or similar)	31-Mar-2022	In progress	Improved understanding of council needs in relation to delivering priorities Evidence of aspects where partner will improve contribution	Corporate Improvement Officer	Work continues with VAA to better align 3rd sector partnerships through the Transforming Services group and through leadership sharing on the Angus Community Planning Partnership. The service level agreement with VAA has been much improved for 2021/22	22-Dec-2021

				Evidence to exhibit future partners actions (e.g. agreed action plan or similar)			
AC-COR-00059 Review of Community Plan		30-Jun-2022	In progress	Community Plan signed off by partner boards / committees	Senior Practitioner – Strategic Commissioning	NEW	

Target Likelihood: 3

Target Impact: 3

Overall Target Score: 9

Risk Owner:	Vivien Smith, Director of Strategic Policy, Transformation & Public Sector Reform

Latest Update	**By**	**Date**
Risk reviewed; new action added. No changes to risk score required.	Vivien Smith	22 Dec 2021

Impact / Likelihood

Risk Title

CORRR0007 Information Governance

Risk Description

A lack of consistency in operational delivery of information governance & implementation of information governance policies could expose the council to an information breach and/or Information Commissioner intervention and substantial financial penalties

Likelihood	**Potential Impact**
Despite work done to date it is still possible that staff are either unaware of the policies/guidance or fail to adhere to them and a breach of sensitive personal data results. This is compounded by an apparent lack of resource in some service areas and consequently lack of consistency in operational delivery of information governance across the council.	There is a loss or inappropriate disclosure of sensitive data. Reputational damage. Adverse impact on specific individuals affected. Public loss of confidence. Breach of data protection legislation. Significant fines imposed. Ineffective decision making. Unable to meet statutory duty (Data Protection, FOI, Record Management). Impact on resources dealing with alleged breach.

Existing Controls

| Information Governance Steering Group(IGSG)	Meets quarterly & monitors & scrutinises delivery of information governance; determines matters escalated from Working Group.
Information Governance Working Group	Meets every 6 weeks; responsible for implementation and monitoring of information governance policies & procedures; and sharing best practice and operational examples; significant issues escalated to IGSG (see above).
Service Specific Working Groups	Each directorate responsible for ensuring all issues are fed to the appropriate group whilst implementing and promoting good practice.

Guidance, Policies, Instruction	All available on the Information Governance webpage on the intranet and updates are made available on the Information Governance Yammer group on a regular basis.
Information Officers	All directorates have an appointed Senior Information Officer and Information Officers with set remits.
Compliance incorporated into Annual Corporate Governance review process	Including annual GDPR training requirement.
Corporate Leadership Team	Receive reports as required to highlight any significant issues and take appropriate action.
Dedicated Information Governance Team	Skilled and trained staff based in Legal Team 2, Legal & Democratic Services available to provide advice and support and lead on compliance.

Risk Likelihood Score: 2

Risk Impact Score: 4

Overall Risk Score: 8

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Jackie Buchanan, Director of Legal & Democratic Services

Latest Update	By	Date
Risk reviewed and internal controls strengthened by completed actions.	Angela Dunlop	22 Dec 2021

Impact / Likelihood
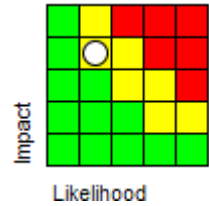
Risk Title

CORRR0016 Public Protection

Risk Description

There is a failure in the multi-agency arrangements for protecting people resulting in significant harm to a child or vulnerable person and / or a failure to manage an offender appropriately leading to significant harm to another person.

Likelihood	**Potential Impact**
Wide range of existing controls mitigate the likelihood. These controls are monitored and revised as necessary.	A failure of systems or performance in any of the three public protection areas would have significant repercussions for the safety of the public and would potentially bring the Council into disrepute through Governmental scrutiny and adverse media attention.

Existing Controls

Multi-Agency Public Protection Arrangements (MAPPA), Angus Child Protection Committee and Angus Adult Protection Committee	
Chief Officer Group oversee committees at strategic multi-agency level	Programme of support and evaluation for Independent Chairs established and delivered.
Child and adult protection procedures, training and staff development	
Staff have appropriate skills and qualifications	
Multi-agency management, monitoring processes and external inspection	Risk register agreed and updated by Committee Chairs.
Internal audit programmes	
Learning events from initial and significant case reviews	
Attendance monitoring is in place	each agency provides a rep or appropriate delegate; induction in place for new members
Support & Evaluation programme in place	for Independent Chairs.
Cross agency risk register developed and in place.	

Risk Likelihood Score: 2

Risk Impact Score: 4

Overall Risk Score: 8

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Kathryn Lindsay, Director Children, Families and Justice (CSWO)

Latest Update	By	Date
The 2 completed actions now strengthen existing controls. No additional actions are required to mitigate this risk further. Risk will be kept under review.	Kathryn Lindsay	20 Dec 2021

Impact / Likelihood
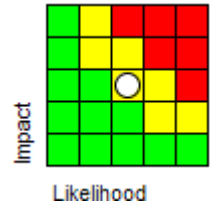
Risk Title

CORRR0018 Legislation

Risk Description

The council is unable to fully implement new legislative requirements on time and within budget to achieve the required outcomes.

Likelihood	**Potential Impact**
Legislation management and compliance are not matched with adequate resources including awareness in respect of superseded legislation. Capacity for legislative implementation work is limited given reduction in posts in recent years. Dissatisfied Groups or individuals dissatisfied with Council decisions may challenge the Council in respect of any compliance issue We have a good track record of being actively engaged in the development of legislation and delivering on requirements on time. There is uncertainty on future due to EU exit.	Failure to meet legal obligations and responsibilities. Financial impact on current budget and priorities. Reputational damage. Legal challenges.

Existing Controls

Active engagement with the development of legislation	Through COSLA, professional associations and by responding to Scottish Government and UK Government consultations as appropriate
Project management approach adopted for implementation of legislation	Led by the Director; for each piece of legislation/direction including individual risk registers
Distinguish between powers and duties when planning implementation	
Legal & Democratic Services Directorate leadership team	Act as project board, receiving updates and reviewing risks during implementation. Escalation to CLT if risks increase or situation changes materially
Fully trained and knowledgeable staff in place	

Risk Likelihood Score: 3

Risk Impact Score: 3

Overall Risk Score: 9

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00030 System requirements to be investigated with IT		01-Dec-2021	✅ Completed	To have a system in place for recording of statutory consultations and new legislation	Service Leader - Legal	Completed	
AC-COR-00058 Engage in development of workflow system with Civica (system provider)		31-Dec-2022	▶ In progress	Process in place	Team Leader – Information Governance	NEW	

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Jackie Buchanan, Director of Legal & Democratic Services

Latest Update	By	Date
A process map was created pre-COVID and Legal met with IT in August 2021 to take forward the identification of an appropriate IT system for recording of statutory consultations and new legislation. CLT have now approved the Civica Case Management System which will be used for the recording of statutory consultations, policies, strategies and legislation and Civica are developing the workflow in line with the process map previously agreed. In the meantime, SharePoint is currently being utilised. The council's Statutory Obligations and Powers document has now been finalised which sets out proposals regarding which legislation and responsibilities is relevant to which service/directorate. Legal are working closely with SPTPSR colleagues to identify a named contact within each of the services and to develop a Strategic Writers Group, which will meet early 2022, to develop strategies, plans and frameworks off the back of new policy/legislation which now requires cross cutting themes and input

Risk reviewed, actions updated, and new action added. No change to risk score at this time. This will improve once new online system is instigated. | Jackie Buchanan | 22 Dec 2022 |
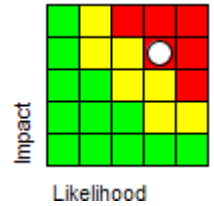
Risk Title

CORRR0019 IT Resilience & Cyber Attack (Business Continuity)

Risk Description

Interruption to service or inability to provide IT services due to loss of the data centre and/or other critical infrastructure components caused by factors such as fire, vandalism, cyber-attack, equipment malfunction.

Likelihood	**Potential Impact**
There are resilience and protections in place however there are a number of circumstances where significant damage to the data centre or other critical infrastructure (cloud, hosted or connectivity) components is possible. Cyber-attacks are becoming increasingly common with public sector organisations targeted regularly.	Work is being done around the Recovery Time Objectives (RTO's) in our business continuity plans to ensure that they are realistic in relation to available IT resources and time. A number of business critical systems on which the council is wholly dependent to provide services could take several days to recover. The restoration of Business As Usual (BAU) services could take several weeks.

Existing Controls

Project being implemented to provide automatic switch over	For email and other core components to switch to the use of the secondary site in Arbroath
Implementation of Office365 has improved resilience for all services	
Regular and tested data back-up and recovery	
Business Continuity plans for all critical services	
Regular maintenance of physical environment and equipment	
Regular review of security standards	
PSN accreditation	
Council wide Application Strategy in place.	
Council wide Application Strategy approved and in place.	

Risk Likelihood Score: 4

Risk Impact Score: 4

Overall Risk Score: 16

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00035 Ongoing review of new threats and counter measures		31-Mar-2022	In progress	Improved security and resilience	Service Manager Digital Enablement and IT	Ongoing and regular review by Network and Security Team Leader with periodic reports to CLT on threats and counter measure.	21-Dec-2021
CORRR_0019.2 Where appropriate avoid the risk by provisioning the services differently.	This is an ongoing action as applications are moved to the cloud.	31-Mar-2022	In progress	Different approaches taken in the provision of IT services	Service Manager Digital Enablement and IT	Changes made to AHSC Eclipse, O365 and Backup to provision services such that they are less reliant on on-site physical infrastructure. Ongoing.	21-Dec-2021
CORRR_0019.3 IT will review, with the service units, the RTO's against estimates of recovery time and agree priorities for actions.	This is an ongoing action as applications are moved to the cloud.	31-Mar-2022	In progress	List of agreed priorities	Service Manager Digital Enablement and IT	Updated as part of BC plans and ongoing review between BRMs and service areas re system uptime and recovery time requirements.	21-Dec-2021
CORRR_0019.4 Resilience projects identified from the Technology Roadmap are implemented	This action is ongoing but has been severely delayed due to Covid-19.	31-Mar-2022	In progress	Increased resilience	Service Manager Digital Enablement and IT	Potential downtime required to undertake complete end to end testing still being hampered by COVID-19 and need for vast majority of staff to be working remotely.	21-Dec-2021

Target Likelihood: 2

Target Impact: 4

Overall Target Score: 8

Risk Owner:	Sharon Faulkner, Director of Human Resources, Digital Enablement, IT and Business Support

Latest Update	By	Date
Potential downtime required to undertake complete end to end testing of disaster scenarios still being hampered by COVID-19 and need for vast majority of staff to be working remotely, hence very difficult to negotiate downtime required for actual testing and making resilience changes.	Caroline Cooper	21 Dec 2021
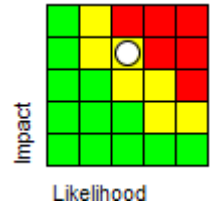
Risk Title

CORRR0020 Health & Safety Compliance

Risk Description

The council does not fully comply with Health & Safety at Work legislation.

Likelihood	**Potential Impact**
Gaps for improvement have been identifies through a corporate gap analysis and peer review. Both have identified similar themes and disparities which require to be addressed as a priority.	The council fails to comply with Health and Safety at Work legislation leading to enforcement by the Health & Safety Executive.

Existing Controls

Corporate Action Plan in place	
Reviewed health & safety policy and arrangements in place	
Provision of risk assessment guidance, templates and training	
Competent and qualified health & safety staff	
Health & safety service action plan	
Risk assessments	
Training	
Occupational health surveillance provided	In partnership with PAM Assist
Assure digital management system launched.	

Risk Likelihood Score: 3

Risk Impact Score: 4

Overall Risk Score: 12

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00022 Review of risk assessment guidance, templates and training		31-Dec-2022	▶ In progress	Compliance with legislation	Manager - Risk, Resilience & Safety	EastScot (PKC / Clacks / Angus Safety Teams) development plan in place to complete 33 pieces of topic specific arrangements, guidance and associated hazards requiring statutory controls. Ongoing work impacted by COVID/Severe weather/Resource.	20-Dec-2021
AC-COR-00023 Delivery of corporate action plan and agreed strategic objectives for 2020/21		31-Mar-2022	▶ In progress	Compliance with legislation	Manager - Risk, Resilience & Safety	Corporate action plan monitored, reviewed and updated on an ongoing basis. The pandemic has had an impact on taking some of these actions forward and these are now being progressed on a priority basis.	20-Dec-2021
AC-COR-00045 Review of health & safety training to enable a training plan to be produced and implemented.		30-Jun-2022	▶ In progress	Training plan produced and implemented.	Manager - Risk, Resilience & Safety	Ongoing work with OD to consider options to design and delivering mandatory H&S training to meet audit benchmarking report. Note: training delivery impacted because of working from home; COVID; severe weather; resource; competencies. Funding in place to develop.	20-Dec-2021
AC-COR-00048 Develop the Performance Monitoring Record	Contained within the Assure System's audit management module.	31-Jul-2022	▶ In progress	Services enabled to identify if they are compliant with relevant H&S legislation	Safety Adviser	NEW: As part of ongoing EastScot Assure System group work the Performance Monitoring Record is under development.	20-Dec-2021

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Mark Armstrong, Depute Chief Executive

Latest Update	By	Date
Work is ongoing to take forward the corporate health & safety action plan. No change in risk score required at this time.	Mark Armstrong	20 Dec 2021
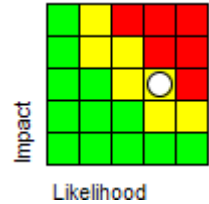
Impact / Likelihood

Risk Title

R-AC-COR-00003 Exit from the European Union (EU)

Risk Description

Impacts from the UK leaving the EU on 31st January 2021.

Likelihood

Potential Impact

Five years on from the UK decision to leave the EU it is not yet possible to describe the full impact that decision will have on the people of Scotland. Some consequences, such as parts of the new rules on trade into the UK, are not yet fully in force. For those that are, assessing the real impact will take many years. Work to identify the immediate, medium and longer term impact of the UK leaving the UK continues at a national, regional, and local level. The Chief Executive is a member of the Regional Resilience Partnership and Chairs the Local Resilience Partnership. The council's Brexit Officer Group meets bi monthly to discuss local challenges and specifically information from Scottish and UK governments. Council officers continue to attend sector specific meetings, the detail of which is subsequently shared and actioned accordingly. COSLA agreed a further 6 months funding for the Brexit Officer post, Angus had already identified funding to continue the post until December 2021. NHS Tayside and Angus Health and Social Care Partnership continue to assess the impact on the health service and its wider partnership	A full review has been undertaken of the national planning assumptions, aligned to council's approach. This has been undertaken via the Tayside Resilience Partnership and wider Scottish Resilience Partnership sub group. With Angus being a rural area the impact on trade, economy and workforce in relation to farming and tourism is being monitored. Some of these difficulties are about unavoidable new rules and regulations. Some are about costs which now need to be permanently factored in. It is difficult to know the full impact of BREXIT alongside COVID; this is being managed by concurrent risk mitigation and oversight.

Existing Controls

Brexit officer appointed
Provision of UK & Scottish planning assumptions
Angus Council assessment against all planning assumptions
National planning

EU Exit council group - specialist officers	
Resilience partnership assessment and testing	
Testing of plans and procedures of what is known	
Assessment of known challenges and mitigation where possible	many issues are national and cannot be mitigated at local level
Preparation of all council services dealing with public support	
Information sharing internally and externally	
Brexit information on council website	
Additional funding for 1 year from Scottish Government	This is being negotiated by COSLA.
Reporting to elected members	
Ongoing assessment and review of information	
Ongoing monitoring and review of concurrent risks	

Risk Likelihood Score: 4

Risk Impact Score: 3

Overall Risk Score: 12

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00024 Monitor and review until 31 December and then assess impacts		31-Dec-2021	In progress	Understanding of potential impacts on the council and citizens of Angus.	Senior Practitioner (Brexit Coordinator)		

Target Likelihood: 4

Target Impact: 3

Overall Target Score: 12

Risk Owner:	Vivien Smith, Director of Strategic Policy, Transformation & Public Sector Reform

Latest Update	By	Date
At the EU Exit Council Group meeting in January 2022 it will be proposed that this risk is stepped down.	Vivien Smith	20 Dec 2021

Impact / Likelihood

Risk Title

R-AC-COR-00004 Climate Change

Risk Description

Failure to comply with the requirements of the Climate Change (Scotland) Act 2009 to reduce carbon emissions, adapt to climate change and endeavour to act sustainably.

Likelihood	**Potential Impact**
Annual reporting on Climate Change has been carried out since 2010 on a voluntary basis before the requirement to report was introduced in 2015. The Climate Change Member Officer Group and associated governance was established in 2016 because of a self-assessment process identifying this as a weakness in the Council's approach to Climate Change. Self-assessment continues and annual reporting provides accountability, but further work is required to ensure Climate Change considerations are central to work across the Council. The Sustainable Energy and Carbon Action Plan (SECAP) being progressed will help to do this. It aims to provide strategic direction, provide an evidence based approach and to deliver on national targets with the objective to support sustainable development, environmental management and a transition to a low carbon economy.	Failure to meet statutory duty including carbon emission targets Unacceptable impact on the environment Inability to deal with climate change impacts including severe weather events and unforeseen emergencies Reputational impact of lack of action or perceived lack of action

Existing Controls

Climate Change Duties of Public Bodies Reporting Requirements Order 2015	These ensure that we report annually on our compliance with the 2009 Act.
Climate Change Member Officer Group	This is supported by the Carbon, Adaptation and Sustainability Working Groups
Strategic Environmental Assessments	Of statutory plans, policies and strategies ensures Climate Change is considered in their development

Risk Likelihood Score: 3

Risk Impact Score: 3

Overall Risk Score: 9

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00036 Publish the Sustainable Energy & Climate Change Plan		30-Sep-2021	✅ Completed	Publication of plan	Manager - Tay Cities Deal (Angus)	SECAP report approved by committee 4th Nov. Report no 337/21	05-Nov-2021
AC-COR-00037 Delivery and monitoring of SECAP actions		31-Mar-2022	▶ In progress	Contribution to Public Bodies Duties Report Achieving targets Regular reporting	Manager - Strategic Policy & Planning	Shelley Hague: Funding has been confirmed for a SECAP officer to coordinate and take this work forward. This work will be reported alongside the Community Plan Performance Report. Alison Smith: New governance structure to be considered as part of delivering the SECAP.	20-Dec-2021
AC-COR-00038 Submit annual Public Bodies Report		31-Mar-2022	▶ In progress	Progress on performance towards targets Continued self-assessment	Team Leader – Environment & Climate Change	Work ongoing	20-Dec-2021

Target Likelihood: 2

Target Impact: 3

Overall Target Score: 6

Risk Owner:	Alison J Smith, Director - Vibrant Communities and Sustainable Growth

Latest Update	By	Date
Risk reviewed and no change in risk score at this time.	Alison Smith	20 Dec 2021

Impact

Likelihood
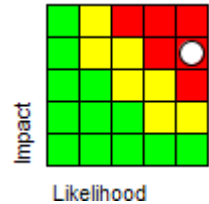
Risk Title

R-AC-COR-00005 Pandemic - Covid19

Risk Description

The ongoing response to the global Covid19 pandemic impacts the council's ability to continue to provide essential services and to protect the most vulnerable citizens of Angus, the wider community and the local economy.

Likelihood	**Potential Impact**
This is an ongoing emergency response. New strain of virus emerging, implications for increased transmission. Ongoing oversight and direction from UK and Scottish Governments. Additional risk of concurrent events over winter e.g. flu, EU Exit, severe weather	Increasing pressures on health and social care systems. Increasing demand on existing resources. Targeting resources at emergency response reduces capacity elsewhere to sustain business as usual. Ongoing hardship for citizens and local businesses. Impact on vulnerable groups. Financial implications for council and local economy. Increased risk of additional deaths. Reduced customer confidence in the council's ability to deliver business as usual services Economic impact local, regional and national business Opportunity to redesign services and accelerate transformational change

Existing Controls

Established emergency planning and incident management response
Network of partnership organisations, third sector and community groups
Emergency Centre Co-ordination and resourcing
Decision making powers and governance
Agile workforce
Test and protect measures
Mass vaccination programme

Risk Likelihood Score: 5

Risk Impact Score: 4

Overall Risk Score: 20

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

| Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00039 Review and prioritise service delivery	against response requirements and the Council Plan.	31-Dec-2021	In progress	Good customer service and delivery against Council Plan and priorities.	Depute Chief Executive	Due date revised to take account of ongoing Covid response management. IMT and Gold continue to meet to manage the response to and recovery from the pandemic. Services continue to flex and respond to dynamic Covid situation.	14-Jul-2021
AC-COR-00040 Continue to support the test and protect measures		31-Mar-2022	In progress	Reducing numbers of positive tests within manageable criteria.	Depute Chief Executive	The LTR Test &Protect Group continues to meet fortnightly and report to Local Resilience Partnership meetings. System across Tayside in managing with demands and changes. A proposal for asymptomatic testing across Tayside is being refined to secure Scottish Government approval and funding. Probability is that T&P will continue beyond October 2021 and end date should be revised to 31 March 2022	21-Jun-2021
AC-COR-00041 Demand management programme to develop opportunities for change in service delivery.		31-Dec-2021	In progress	Delivery based on demand management	Depute Chief Executive	Tender process has secured a partner to work with Council and Angus Community Planning Partnership (ACPP) on Service Design and suitable projects are presently being considered and scoped. Projects will be initiated prior to end of the year and will use Service Design to review and co-design services that have the user experience at their centre. New Service Leader Vibrant Communities post has been established and successful applicant commenced in post on 25 October. They will lead on demand management work	22-Oct-2021

						within the Council and with ACPP partners and our communities.	
AC-COR-00042 Ensure recovery and renew activity learns from positive ways of working.	To learn from the positive and more effective ways of working that emerged during the pandemic and continue those beyond the pandemic period.	01-Mar-2022	In progress	New ways of working are reflected in council and service plans.	Director of Legal & Democratic Services	Virtual meetings both at officer level and for Council and Committees has continued successfully throughout the pandemic allowing the Council to function as well as bringing benefits in terms of cost reduction, reduced carbon footprint and greater flexibility for both staff and the public. Online processes continue to be developed in support of the new ways of working covering all aspects of Council service delivery.	17-Nov-2021
AC-COR-00043 Support the delivery of mass vaccination programme (NHS public health lead)		31-Mar-2022	In progress	Communities can recover and renew.	Service Manager (Technical)	Vaccination centres are operating well. Expected use for COVID booster clinics into the New Year. Due date extended to 31 March 2022.	02-Nov-2021
AC-COR-00044 Ensure the effective administration of Scottish Govt grants	To minimise the economic and social impact of the pandemic.	30-Jun-2021	Completed	Distribution of grants to eligible recipients.	Director of Strategic Policy, Transformation & Public Sector Reform	A member of staff has been seconded to keep a register of all grants coming to Angus Council. Work is underway to secure new levelling up grant funding and a bid is being progressed for regeneration funding. Work has progressed with business support grants and all support schemes delivered as planned.	23-Jul-2021

Target Likelihood: 5

Target Impact: 3

Overall Target Score: 15

Risk Owner:	Margo Williamson, Chief Executive

Latest Update	By	Date
This risk is being carefully monitored and evaluated as we are still in the pandemic and experiencing the onset of winter.	Margo Williamson	25 Oct 2021

NEW RISK

Impact / Likelihood
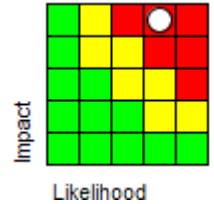
Risk Title

R-AC-COR-00006 Data Migration

Risk Description

Incomplete migration of data from Care First (legacy client index system) to Eclipse (replacement client index system) leads to professionals having incomplete information on which to base assessment of need and risk to children referred to social work; incomplete identification of records in relation to subject access requests and the Historic Child Abuse enquiry; the application of incorrect file retention schedules and inaccuracy of key data returns to Scottish Government and the Improvement Service to inform comparative data.

Likelihood	**Potential Impact**
Initial implementation review of the "go live" for children's social work of the Eclipse system identified that a cohort of data had not been successfully migrated from the legacy system to the new Eclipse. Ongoing requests for subject access to social work files and day to day operation of the system in dealing with referrals has led to identification of other cases. This suggests that the incomplete migration of data impacted a larger number of records than initially understood. Statutory return data did not pass internal sense check and highlighted further inaccuracies with the system's automated data reporting. Due to our incomplete understanding of the underlying issue with data migration and missing and/or duplicated records the likelihood of future occurrence is currently unquantified.	Previous episodes of intervention do not reliably show on the new system and risk not therefore being factored into an assessment of the need for a service, including protection-based intervention for referrals that present now or in the future. That we advise people looking to exercise their legal entitlement to access their social work records (or other entitled parties) that we do not have records pertaining to that individual when in fact we do. Completion of the statutory data returns to Scottish Government required significant additional work to check, correct and verify the return prior to submission. Inability to have confidence in the automated management information produced by the system reduces the ability to proactively monitor demand and performance and respond to FOI requests. Confidence in the system is undermined.

Existing Controls

Specific operational work around put in place	to input data in relation to the initial cohort of records identified
Every subject access request is manually checked	In Children, Families & Justice(CFJ) requests manually checked against rather than relying on the data in Eclipse, we are confident that we are not failing to respond to such requests.
Manual sense check of all FOI responses	

Operational managers have been instructed to ensure that all referrals being screened through duty must have CareFirst checks completed	in addition to other existing processes. this will stay in place until confidence is restored.
Currently prioritising the provision of CareFirst logins and training to all staff who deliver duty.	
Cross departmental working group established and initial action plan in place	to assess the route cause of the issues and identify other mitigations necessary
Manual work arounds in place for all statutory returns	
Specific problem-solving liaising arrangement in place with OLM (the provider)	
Weekly reporting to the CFJ Bronze group on progress	

Risk Likelihood Score: 4

Risk Impact Score: 5

Overall Risk Score: 20

Additional Controls/Actions to Reduce Likelihood and/or Impact Scores

Controls/Actions		Due Date	Status	Desired Outcome	Owner	Latest Update	Date
AC-COR-00049 Assess risks regarding the migration of further data prior to progressing with further implementation.		21-Jan-2022	In progress	Report to Programme Board providing clarity regarding the systems issues and ability to progress without adding to the current difficulties	Service Manager Digital Enablement and IT	Commenced and will be available for Programme board.	22-Dec-2021
AC-COR-00050 Notify the Out Of Hours Service (OOHS) and ensure they have capability to implement dual system checking for referrals.		21-Dec-2021	Completed	OOHS have the ability to screen referrals on both systems	Service Leader - Localities	OOHS notified and will advise if additional logins required – have been maintaining both systems in any event as not all services have moved to Eclipse.	23-12-2021
AC-COR-00051 Continue current temporary Information Officer capacity within CFJ for further 12 months to mitigate risk.		31-Mar-2022	In progress	The service retains its current level of capacity for the meantime.	Service Leader - Child Protection & Review	Temporary post already established and currently filled until March 2022; currently scoping opportunities to extend this post.	21-Dec-2021
AC-COR-00052 Notify adult services of the issues and merit in implementing dual system checking for relevant referrals/ subject access requests.		20-Dec-2021	Completed	Adult services are aware of the need to implement double system checks where indicated.	Service Leader - Child Protection & Review	The CFJ service assessment and risk information has been shared with Head of Service in Adult Services and currently assessing the implications and action required in adult care.	21-Dec-2021

AC-COR-00053 Clarify the scope and nature of the issues in conjunction with OLM (provider)	initially through cross referencing records identified as problematic by the service	31-Dec-2021	▶ In progress	Report to Programme Board providing clarity regarding the systems issues and a specific action plan in place to resolve.	Service Manager Digital Enablement and IT	In progress	22-Dec-2021
AC-COR-00054 Provide login details to all relevant staff for Care First		23-Dec-2021	▶ In progress	All relevant staff have a CareFirst login	Service Manager Digital Enablement and IT	Will be progressed in line with requests from CF&J	22-Dec-2021
AC-COR-00055 Ensure advice is available to key staff on use of Care First		24-Dec-2021	✓ Completed	Advice on the use of Care First for system checks is available to those with no prior experience of the system	Service Leader - Localities	Any support is available from Eclipse team.	23-12-2021
AC-COR-00056 Review permissions in place for all staff accessing Eclipse	to ensure these allow the right level of records viewing and are consistent.	23-Dec-2021	⚠	Permissions reviewed	Service Manager Digital Enablement and IT	Commenced and Ongoing action as part of review to be reported to programme board	23-12-2021
AC-COR-00057 Keep under active review any record anomalies that emerge through day-to-day operations.		31-Mar-2022	▶ In progress	Anomalies reviewed	Service Leader - Child Protection & Review	Group now established and meeting regularly to address assessed issues and further identified issues. Clear lines from members to both single service point of contact (Service Leader) and reports to the Eclipse Program Board.	21-Dec-2021

Target Likelihood: 1

Target Impact: 5

Overall Target Score: 5

Risk Owner:	Kathryn Lindsay, Director Children, Families and Justice (CSWO)